

**STATE OF CALIFORNIA
HEALTH AND HUMAN SERVICES AGENCY
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT**

COMMUNITY SERVICES BLOCK GRANT

FEDERAL FISCAL YEARS 2010/11

STATE PLAN AND APPLICATION

TO

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES
OFFICE OF COMMUNITY SERVICES**

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OUTLINE FOR NARRATIVE STATE CSBG APPLICATION AND PLAN

I. FEDERAL FISCAL YEAR OR YEARS COVERED BY THIS STATE PLAN AND APPLICATION

This State plan and application cover Federal Fiscal Years 2010 and 2011.

II. LETTER OF TRANSMITTAL

A cover letter will be included with the final plan and will be submitted to the Office of Community Services (OCS) by September 1, 2009. The letter is addressed to the OCS Director and includes the State CSBG Program contact person and the State CSBG official who is to receive the CSBG grant award with complete address, telephone and fax numbers.

III. EXECUTIVE SUMMARY

A. CSBG State Legislation

California Government Code Section 12725 et seq. provides that the Community Services Block Grant (CSBG) Program in California shall be governed by the principle of community self-help, thereby promoting new economic opportunities for Californians living in poverty through well-planned, broadly-based and locally-controlled programs of community action.

The purpose of the CSBG Program is to stimulate an effective concentration of all available local, private, State, and Federal resources upon the goal of enabling low-income families, and low-income individuals of all ages, in rural and urban areas to attain the skills, knowledge, and motivations and to secure the opportunities needed for them to become fully self-sufficient.

B. Designation of Lead State Agency to Administer the CSBG Program

Section 676(a) of the Community Services Block Grant Act, as amended (42 U.S.C. 9901, et seq.) (The Act), requires the Chief Executive of each State to designate an appropriate State agency to act as lead agency for administration of the Community Services Block Grant.

Under the Federal law referenced above, the Department of Community Services and Development (CSD) is designated as the State department responsible for administering the CSBG in California. The Director of CSD is the State official designated to sign assurances and receive the grant award. (Letter of designation is in Appendix C.)

C. Public Hearing Requirements

(1) Public Hearing

Public notices will be published in several newspapers in the northern, central, and southern parts of the State at least ten days prior to the hearing. The public legislative hearing hosted by the Assembly Human Services Committee will be held on, Tuesday, August 25, 2009, at 1:30 p.m., in room 437 of the State Capitol in Sacramento, California.

(2) Legislative Hearing

As described above, the public legislative hearing hosted by the Assembly Human Services Committee will be held on Tuesday, August 25, 2009, at 1:30 p.m., in room 437 at the State Capitol in Sacramento, California. This legislative hearing will be advertised publicly and conducted to enable public comment. The State Plan includes an explanation of how comments will be received, reviewed and either incorporated or rejected by CSD prior to final submission of the State Plan (See Appendix B.)

(3) Public Inspection of State Plan

The draft State Plan will be distributed for public review and comment regarding the content of the State Plan. Oral and written testimonies will be accepted at the hearing. Written comments regarding the State Plan and suggested use of discretionary funds will be accepted until Tuesday, August 25, 2009 by 5:00 p.m., and should be submitted to the Department of Community Services and Development at Post Office Box 1947, Sacramento, CA 95811. The draft State Plan will also be available for public viewing on the CSD website at www.csd.ca.gov.

IV. STATEMENT OF FEDERAL AND CSBG ASSURANCES

As part of the annual or biennial application and plan required by Section 676 of the Act, the designee of the chief executive of the State hereby agrees to the Assurances in Section 676 of the Act.

A. Programmatic Assurances

(1) Funds made available through this grant or allotment will be used:

- (a)** To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601, et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families to enable the families and individuals to:

- (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) secure and retain meaningful employment;
 - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) make better use of available income;
 - (v) obtain and maintain adequate housing and a suitable living environment;
 - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;
- (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after school child care programs; and
 - (c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [676(b)(1)]
- (2) To describe how the State intends to use discretionary funds made available

from the remainder of the grant or allotment described in Section 675C(b) of the Act in accordance with the Community Services Block Grant Program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the Community Services Block Grant Program; ['676(b)(2)]

- (3) To provide information provided by eligible entities in the State, including:
 - (a) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675C(a) of the Act, targeted to low-income individuals and families in communities within the State;
 - (b) a description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;
 - (c) a description of how funds made available through grants made under Section 675(a) will be coordinated with other public and private resources; and,
 - (d) a description of how local entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the Community Services Block Grant, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]
- (4) To ensure that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. ['676(b)(4)]
- (5) That the State and the eligible entities in the State will coordinate, and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services. The State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998; ['676(b)(5)]
- (6) To ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities. ['676(b)(6)]

- (7) To permit and cooperate with federal investigations undertaken in accordance with Section 678D of the Act. ['676(b)(7)]
- (8) That any eligible entity in the State that received funding in the previous fiscal year through a Community Services Block Grant under the Community Services Block Grant Program will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act. ['676(b)(8)]
- (9) That the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations. ['676(b)(9)]
- (10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. ['676(b)(10)]
- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs; ['676(b)(11)]
- (12) That the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, a performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act. ['676(b)(12)]
- (13) To provide information describing how the State will carry out these assurances. ['676(b)(13)]

B. Administrative Assurances

The State further agrees to the following, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the Community

Services Block Grant Program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]

- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the Community Services Block Grant Program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. ['675C(a)(1) and (2)]
- (3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the Community Services Block Grant Program. ['675C (a)(3)]
- (4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. ['675C(b)(2)]
- (5) In states with a charity tax credit in effect under State law, the State agrees to comply with the requirements and limitations specified in Section 675(c) regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. ['675(c)]
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or '675B for the period covered by the State plan. ['676(a)(2)(B)]
- (7) That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State Community Services Block Grant Program activities. ['676(a)(1)]
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the State plan. ['676(a)(3)]
- (9) To make available for public inspection each plan or revised State plan in such a

manner as will facilitate review of and comment on the plan. ['676(e)(2)]

(10) To conduct the following reviews of eligible entities:

- (a) full on-site review of each such entity at least once during each three-year period; ['678B(a)(1)]
- (b) an on-site review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the Community Services Block Grant Program; ['678B(a)(2)]
- (c) follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State; ['678B(a)(3)]
- (d) other reviews as appropriate, including reviews of entities with programs that have had other federal, State or local grants (other than assistance provided under the Community Services Block Grant Program) terminated for cause. ['678B(a)(4)]

(11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State plan, to provide services under the Community Services Block Grant Program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:

- (a) inform the entity of the deficiency to be corrected; ['678C(a)(1)]
- (b) require the entity to correct the deficiency; ['678C(a)(2)]
- (c) offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance is not appropriate; ['678C(a)(3)(A)]
- (d) at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved; ['678C(a)(4)(A)]
- (e) after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. ['678(C)(a)]

- (12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
- (13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the Community Services Block Grant Program. [678D(a)(3)]
- (14) To participate, by October 1, 2001, and ensure that all-eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System [678E(a)(1)].
- (15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under 678E(a)(2) of the Act.
- (16) To comply with the prohibition against use of Community Services Block Grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.
- (17) To ensure that programs assisted by Community Services Block Grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [678F(b)]
- (18) To ensure that no person shall, on the basis of race, color, national origin or sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with Community Services Block Grant Program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. [678F(c)]
- (19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance

under the community services block grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the community services block grant program. [‘679]

C. Other Administrative Certifications

The State also certifies the following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of Community Services Block Grant Program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any subawards, which contain provisions for children's services and that all subgrantees shall certify accordingly.

Signature

Administrator/Director of Designated Lead Agency

Date

V. THE NARRATIVE STATE PLAN

A. Administrative Structure

(1) State Administrative Agency

(a) Mission Statement

The mission of the Department of Community Services and Development is to administer and enhance energy and community service programs that result in an improved quality of life for the low-income population.

The Department of Community Services and Development fosters strong partnerships with local community organizations to provide high impact programs and leverage strategic resources resulting in ever-increasing hope, dignity and quality of life for California's low-income residents.

California's CSBG State Plan serves several purposes. As required by federal law, it contains the certification and assurances of the Chief Executive Officer of California that the State will meet programmatic and public hearing requirements set forth by the Congress. In addition, in accordance with guidance from the Office of Community Services' "Narrative State Plan", U.S. Department of Health and Human Services, the State Plan describes how the CSBG Program operates within California and reflects the locally-determined program priorities established through contractor planning, needs assessment, and public hearings.

Responsibilities

California Government Code Section 12780 provides that the powers and responsibilities of CSD as the State-administering agency for the CSBG Program are to ensure that all applicable federal requirements are met and the administrative requirements of this program are clear and uniform.

(b) Goals and Objectives

The Department of Community Services and Development's departmental goals are:

- i. Californians are fully aware of CSD's purpose and programs and how to access them.
- ii. CSD and its provider partners have the capacity and resources to meet the needs of California's low-income residents.
- iii. CSD is the national leader in service delivery and fiscal and programmatic accountability.

- iv. CSD and the CSBG Network and associations work together to strengthen and leverage their collective impact to improve the living conditions of low-income Californians.
- v. CSD and its CSBG Network are committed to improving the quality of life of the low-income by providing clear, correct, courteous, complete, concise, and competent service to the customer.
- vi. CSD's workforce is a team of highly skilled professionals committed to the organization, which makes things happen, recognizes and seizes opportunities, adds value, influences and inspires others, and continuously learns and grows.

Additionally, CSD identifies Family Self-Sufficiency as the statewide priority. As part of the Community Action Plan, eligible entities are asked to include a narrative description of the strategies supporting Family Self-Sufficiency utilized by the agency in support of the local planning process.

(2) Eligible Entities

A list of eligible entities and geographic areas served is shown in Appendix A.

(3) Distribution and Allocation of Funds

(a) Planned Distribution of Funds for Current Fiscal Year

The annual distribution of funds planned for FFY 2010 and 2011 is shown in Appendix A. Local assistance funding projections for the CSBG are based upon the prior year's (FFY 2009) federal block grant award. Upon notification from HHS of each year's block grant award, CSD notifies eligible entities of funding levels.

B. Description of Criteria and Distribution Formula

It is the intent of CSD to adhere to the mandates of Government Code Section 12725, et seq., to ensure that CSBG funds are distributed on an equitable basis so that all significant segments of the low-income population are being served. The director shall assure that financial assistance to eligible entities is distributed on an equitable basis.

Within the 90 percent allocation, CSD will fund those entities which meet both Federal and State requirements (Public Law 97-35, as amended, and Government Code Section 12730(e)). The authorization for the use of all CSBG funds will be in accordance with the State Budget Act of 2009 and 2010. The budgeted distribution is as follows:

<u>Categories</u>	<u>Percent</u>
Community Action Agencies and Rural Community Services	76.1
Migrant and Seasonal Farm Workers	10.0
American Indian Programs	3.9
Discretionary Funds	5.0
Administration	<u>5.0</u>
Total CSBG	100.0

Community Action Agencies and Rural Community Services

Community Action Agencies and Rural Community Services will be funded through a 76.1 percent allocation of the total CSBG budget. Pursuant State Government Code Section 12759, CSD sets an allocation amount based on poverty population using the most recent decennial census. CSD will administer the CSBG Program with eligible entities to provide programs, services and activities that assist low income families achieve self sufficiency.

Migrant and Seasonal Farm Workers

Migrant and Seasonal Farm Worker Programs will be funded through a 10 percent budget allocation. CSD will administer Migrant and Seasonal Farm Worker contracts through three established service districts (see appendix A for agency listing). Migrant and Seasonal Farm Worker contractors shall coordinate their plans and activities with other contractors funded by CSD to avoid duplication of services and to maximize services for all eligible beneficiaries.

American Indian Programs

CSD recognizes the government-to-government relationship which exists between the federal government and American Indian Tribes. American Indian Tribes and tribal organizations eligible for direct funding from the U.S. Department of Health and Human Services are those which meet the requirements of Title VI, Subtitle B, Section 674(c)(5) of Public Law 97-35, as amended.

If an eligible American Indian Tribe or tribal organization located in California requests and receives funding from the Secretary, the amount of such funding shall be deducted from the California State allocation by the Secretary. American Indian Tribes and tribal organizations applying directly to the U.S. Department of Health and Human Services will be ineligible for CSBG funds from the State.

CSD will administer the American Indian Programs through eligible American Indian contractors who demonstrate community governance such as tribes and other American Indian nonprofit organizations in urban or rural areas.

American Indian Programs in the State have historically been funded through an allocation set-aside totaling 3.9 percent of the total CSBG allocation. CSD contracts with three entities to administer the funds on behalf of the American Indian population in the State:

- Los Angeles County administers the Programs on behalf of the American Indian population within that county.
- Karuk Tribe of California provides direct services to its own tribe and subcontracts with four other tribes in Northern California.
- Northern California Indian Development Council, Inc. (NCIDC) is a nonprofit organization that provides direct services to tribal and off-reservation American Indians throughout the State and also subcontracts with over 115 tribes.

C. Description of Distribution and Use of Restricted Funds ['675C(a)(3)]

Please see Appendix A for a listing of agencies and proposed funding levels. CSD has not recaptured and redistributed any funds.

D. Description of Distribution and Use of Discretionary Funds ['675C(b)]

The State shall set aside up to 5 percent of the total Community Services Block Grant for discretionary use to support Limited Purpose Agencies, defined in subdivision (a) of Section 12775 as community-based nonprofit organizations [without tripartite boards].

Limited Purpose Agencies

- **Del Norte Senior Center** provides services to the uncapped area of Del Norte County. The Center provides minor home repairs and weatherization services, plus the Energy Crisis Intervention Program (ECIP). Also provided are senior meals and bus services and information and referral to the Center attendees.
- **Community Design Center (CDC)** provides a wide range of architectural, planning, housing development services, and technical assistance. The technical assistance is used by Community Action Agencies (CAA's) seeking to: modify playgrounds, design low-income living space, modify childcare centers, and to comply with provisions of the Americans with Disabilities Act.
- **Campesinos Unidos, Inc. (CUI)** is a private, non-profit organization designated as the Community Action Agency of Imperial County. The agency provides childcare development, emergency food services rental assistance, self-help family services, commodity distribution and free income tax preparation.
- **The Rural Community Assistance Corporation's (RCAC)** mission is to improve the quality of life for rural communities and disadvantaged people through partnerships, technical assistance and access to resources. RCAC strives to help community-based organizations and rural governments increase their own capacity

to implement solutions to their problems. RCAC provides a wide range of housing and community development services to achieve this mission. These services increase the availability of safe and affordable housing; improve water, wastewater and solid-waste management; build the capacity of local officials and community-based organizations; and develop the knowledge base of the rural public through education, publications, and training.

In addition, the utilization of the discretionary funds target to support special projects, provide training and technical assistance to agencies, fund projects such as asset development, disaster assistance efforts (i.e. drought assistance, cooling centers), and activities to enhance the operation of the agency (i.e. staff training, board development, technology).

In the event diminished federal appropriations for the CSBG result in California's California's appropriation reduced by any amount up to 3.5 percent below the amount of the federal appropriation from the prior year, CSD will comply with the provisions of Government Code Sections 12785 (a).

CSD will accept comments on the use of discretionary funds until 5:00 p.m., Tuesday, August 25, 2009.

Training and Technical Assistance [678A]

To ensure programmatic and financial accountability of eligible entities, CSD shall conduct ongoing training and technical assistance through training webinars, regional training, and direct training assistance to the agency. The eligible entities are provided training in topic areas that will assist in fulfilling the goals of the CSBG program. The trainings include topics such as: development of the Community Action Plan, Board of Directors' roles and responsibilities, Audit Compliance, Accurate Outcome reporting and training specific to the CSBG/IS Survey. Agency specific technical assistance is also provided to all eligible entities through their assigned Field Representative.

CSD has established additional options of training and technical assistance:

- 1) a partnership between the State Association (California/Nevada Community Action Partnership) and;
- 2) a Self Assessment Tool to assess an agency's strengths and weaknesses.

Promoting Organizational Excellence and Training and Assistance Program

This model is a collaboration between California/Nevada Community Action Partnership (Cal/Neva) and the State of California Department of Community Services and Development (CSD) that results in effective training and technical assistance strategies delivered to the CSBG Network in an effort to maximize effective delivery of services to the low-income population within California.

CSD, through a discretionary contract with Cal/Neva, provides financial assistance

to support the Promoting Organizational Excellence and Training and Technical Assistance program designed to assist CSBG eligible entities stay current with the latest requirements, meet performance standards and grant requirements and utilize the very best practices in non-profit governance, administration, finance, program and fund development, strategic planning, MIS and reporting, marketing, human resources and program delivery. In conjunction with the CSBG Advisory Committee and at the direction of CSD, organizational excellence is promoted through coordination activities. In addition, Cal/Neva members may identify unique training needs that may be addressed through the individualized peer to peer training and technical assistance component of the Promoting Organizational Excellence Program.

CSD Self-Assessment Tool

In 2006, CSD in collaboration with CSBG Blue Ribbon Task Force (a group of CSBG Network representatives) designed a self-assessment tool to assist the CSBG Network in assessing the core effectiveness competencies required to run a CSBG funded organization. The CSD Self-Assessment Tool focuses on board governance, leadership, financial stability, linkages, and program delivery.

CSD and Cal/Neva will promote the use of the CSD Self-Assessment Tool for use by all eligible entities in an effort to provide ongoing evaluation to programs. The Tool will be promoted as a tool that can be incorporated into everyday activity and combined with other planning efforts within the agency.

E. Description of Use of Administrative Funds ['675(b)(2)]

Pursuant to federal law, CSD will use 5 percent of the total block grant award for administrative expenses in accordance with generally accepted governmental accounting principles. The State does not plan to use CSBG funds for a Charity Tax Credit Program.

F. State Community Services Program Implementation

(1) Program Overview ['676(b)(2)] Describe the following using information provided to the State by eligible entities:

(a) The Service Delivery System ['676(b)(3)(A)]

The state of California contains a varied geographical region, including several distinctive climate regions. This results in an abundance of specialized needs for impoverished people spread out over the state. The CSBG Network understands the needs of the low-income in their region and administers service delivery systems that meet the specific needs of their community.

The CSBG Network also provides services to address the changing needs of low-income people in the state. California is currently ranked sixth in the nation for unemployment, with the statewide rate at 11.6%. Eligible entities deal with their county's high unemployment rate with counter measures such as emergency food, rental assistance and job services. Several eligible entities have also developed programs to combat the high foreclosure rate. With more than 189,000 foreclosure filings in 2009 alone, eligible entities focused efforts on assisting low-income people displaced due to the loss of their home.

The eligible entities are well acquainted with the needs of the community through the biennial process of submitting a Community Action Plan to CSD. The Community Action Plan assists the eligible entities in describing their service area and service delivery system. As part of the Community Action Plan, eligible entities submit a community profile and community needs assessment describing the current conditions of poverty within their community. Eligible entities provide direct services and/or sub-contract with community based organizations in an effort to provide the most applicable and effective services in their community to meet the needs addressed in the community needs assessment. The services are customized to address not only the needs of the community, but also obstacles to administering those services, such as rural services and a lack of transportation due to sporadic public transportation services.

(b) Linkages [676(b)(2)(B)]

The CSBG Network partners with a variety of service providers from all sectors to maximize service availability to the low-income community. The eligible entities have developed collaborative partnerships with a myriad of entities, which may include City, County, State, and a variety of social service providers including faith-based partnerships and other community-based service providers. The Community Action Plan submitted by each agency includes a description of existing partnerships, as well as an assessment as to the effectiveness of the partnership. In addition to the partnerships the eligible entities also participate on a variety of workgroups within their community focusing on issues such as economic development, homelessness, Workforce Investment Boards and community mental health councils. These workgroups are important linkages that help identify gaps in services to the low-income community.

CSD also assists eligible entities with the development of strategic partnerships, including coordination and linkages. CSD accomplishes this by partnering with other federal and state organizations in an attempt to identify additional programs and funds that may be available to the CSBG Network in California. CSD will partner with the First Lady's Office and the State Department of Social Services to promote awareness on the earned

income tax credit (EITC) benefit as part of the 1 percent benefit enrollment and coordination activities under the American Reinvestment and Recovery Act. The linkages formed by CSD are essential in assisting in identify gaps and coordinating resources for serving the low-income.

(c) Coordination with other Public and Private Resources['676(b)(1)(C)]

CSD requires eligible entities to coordinate their activities with other public and private resources within their service area. The Community Action Plan requires that each eligible entity provide a description of how it will coordinate their services with other resources within the community. Many eligible entities have unique communities that face region specific problems, such as drought and fire. These entities require additional coordination with public and private resources to meet the emerging needs of the low-income. These eligible entities work with local fire departments, farm owners and state departments to ensure effective coordination and deployment of services.

Additionally, CSD works to identify potential partnerships and encourages and assists eligible entities in developing these partnerships by sharing information through the CSD Train Tracks blog or presenters at the quarterly CSBG Advisory Committee meetings.

(d) Innovative Community and Neighborhood-based Initiatives ['676(b)(2)]

CSD continues to encourage eligible entities to develop innovative community and neighborhood-based initiatives through the community action planning process, local coordination, and the development of alternative funding options. Examples of innovative programs include the following:

North Coast Opportunities, Inc.

In response to many community issues such as obesity, chronic illness, food security, food safety, environmental concerns, lack of social capital and economic concerns the North Coast Opportunities (NCO) embraced a comprehensive community food system project. One component of this project is the "Granary" project. This project is designed to empower people to take control of their health and food budget by incorporating fresh organic grains and beans into their diet. The NCO has worked with the Willits Economic Localization, a community business, and the City of Willits to develop this project. The goals of the project are to provide access to cheap healthy food for all, improve health, and provide food security and to create a market for these products while "growing" new farmers. The underlying goal of the project is to create more demand for the products and develop an infrastructure that would help new farmers grow beans and grains in the area.

The "Granary" project operates by selling the beans and grains through a new form of currency, the Mendo Food Futures Credits. The Mendo Food Futures Credits are a tradable currency backed by the sustenance of life -- food. People can purchase these credits in \$10.00 increments and they hold their value for one year. Each credit is good for the purchase of either 11 pounds of brown rice, white rice, pinto beans or 17 pounds of triticale. One of the unique components of the project is the Mendo Food Futures Credits can be purchased with cash or food stamps.

The project also includes cooking classes where recipes are shared and techniques are given on how to incorporate cooking into individuals' busy lives.

Families are also educated about the need to maintain a reserve of food in the event of a natural disaster or other emergency to ensure they will have food on hand to feed their families. Worksheets are provided to assist individuals and families to calculate the amount of food they may need to store to meet their specific needs.

Berkeley Community Action Agency

The City of Berkeley has a disproportionate percentage of chronically homeless adults as compared to national averages. Nearly 70% of the homeless population in Berkeley meets the Housing and Urban Development (HUD) definition for chronic homelessness, which is dramatically higher than the national average of 20%. The Berkeley Community Action Agency (BCAA) has responded to this by supporting the Multi-Agency Service Center (MASC) and the Harrison House to combat the problem of chronic homelessness in the city.

The MASC has developed responsive programs to reach the chronically homeless that are living on the streets. The "Lockers to Housing" program offers locker storage for clients who live on the streets so their belongings can be in a safe location. Along with storage, clients are provided monthly case management meetings, where the case manager works with the client to stabilize income and to search for permanent housing.

Additionally, MASC staff members have recently begun an outreach program to identify chronically homeless, mentally ill and/or substance abusers, who are living in city parks and streets. The outreach will result in increased case management activities and placement into a housing subsidy wait list for supportive housing placement.

The Harrison House program works with clients to address their personal needs along six self-sufficiency tracks: housing, income

security, family & community, health, prevention, and purpose. To support clients' efforts towards lasting movement out of poverty, Harrison House leverages the support of peers and outside resources to help the individual along the 'change process.' Each participant is encouraged to develop a 'business and social network' of peers and community resources. The goal of the networking effort is to assist people to be resilient in their permanent housing by having peer supports of diverse partnerships and community service providers that are functional and sustainable during as program participants transition to permanent housing.

Community Action Partnership of San Bernardino County

The Community Action Partnership of San Bernardino County (CAPSBC) implemented the "Passport Program" through its Family Development Program (FDP) to address the long-term needs of clients who were coming to CAPSBC for emergency services. FDP saw a "revolving door" process where staff were seeing the same clients coming back for services. Clients seemed to know just how much wait time was required before they were eligible to receive services again. The staff met with management and agreed that the goal should be to help their clients work toward achieving self-sufficiency and not be in need of emergency services on a continual basis. Clients apply for acceptance into the Passport Program by providing personal demographic information and also submitting a "goal" and "barriers" statement. Clients have the opportunity to tell the agency in their own words what they would like to achieve and what they feel their barriers are. After acceptance, the client meets with a Family Development Specialist to complete an assessment and develop some short-term goals. The Passport Program helps with employment supports such as: fees for Adult School to obtain their General Equivalency Diploma (GED), books, uniforms, fees for community college, food handlers' permits, Department of Motor Vehicle (DMV) fees, and others item necessary to bridge the employment gap. The program also helps clients with budgeting and debt management skills, referrals for mental health counseling, and basic needs such as food vouchers, rental assistance, and gasoline cards or Wal-Mart cards. The Passport Program addresses the needs of the entire family; therefore it also provides educational support for the children.

Clients meet monthly or bi-weekly with their Family Development Specialist to document progress toward goals and also to discuss any new barriers that may have arisen. The Passport case management program grew during 2008, with 17 families and 32 children participating. Five Passport clients were able to obtain part-time or full-time employment. Two clients enrolled in San Bernardino Adult School. Two other clients completed Adult School with certifications as

Custodial Technician and Medical Assistant. One Passport client passed her DMV test and obtained her license; two other clients purchased vehicles. One Passport client obtained permanent housing. It is important to realize that through case management, families who once felt they were lost in the system with nowhere to go are given a chance to regain control of their lives. The ability to receive support, be case managed and make change is something the majority of low-income need to make a push toward self-sufficiency.

Fresno Economic Opportunities Commission

The Fresno Economic Opportunities Commission's (EOC) Sanctuary Youth Services provides a "continuum of care" in assisting runaway, homeless, or otherwise displaced youth with successful transition from adolescence to adulthood. The Sanctuary operates an emergency shelter for 11 to 17 year-old youth in crisis, provides outreach services to homeless youth and families on the streets, operates three transitional living centers to assist 16 to 24 year-old youth with preparation for sustainable, independent living, and maintains Safe Place sites throughout the county to facilitate youth access to shelter and services. These crisis intervention services are unique and unduplicated.

Sanctuary's Transitional Living Centers (TLC) served 76 youth between the ages of 18-24. All youth served were of a homeless status at the time they initiated contact with the TLC program. Self-reporting data indicates that 69% of the youth who became homeless were living with either relatives or friends and were evicted from their homes. Another 13% of the youth were released from an institution (substance abuse facility or jail) and had no housing alternative upon exit. Others were already either living on the streets or in a homeless shelter. Many of the root causes of their homelessness were reported as unemployment, criminal activity, substance abuse, or poor money management skills. 92% of youth living in the TLC are successfully transitioned to a safe and permanent living environment upon exiting the program.

The TLC program's primary focus is to stabilize the homeless person in a safe living environment and provide supportive services. These services include, but are not limited to, case management in education, employment, and life skills. If pre-existing conditions such as substance abuse are a factor, outpatient treatment is made available to prevent relapse and ensure success in achieving personal goals. These areas are targeted with the intent that improvement in these areas will result in the successful attainment of permanent housing and end the cycle of homelessness.

(2) Community Needs Assessment ['676(b)(11)]

CSD requires eligible entities to develop two-year Community Action Plans (CAP). The CAPs are developed by eligible entities and are due to CSD June 30th biennially. Through the Needs Assessment in the CAP, eligible entities assess local poverty-related needs and identify and prioritize eligible activities to be undertaken with CSBG funds. The Needs Assessment in the 2009 CAPs reflected the changes in California's economy and how those changes reflected on low-income people. Many eligible entities reported growing concerns about the high unemployment rate in their county. Many California counties are well over the nation's high of 15% for unemployment. The low-income reported that those problems are compounded by high foreclosure rates and a statewide drought that is estimated to cause a loss of 16,200 to 23,700 full-time jobs. The use of the Needs Assessment allows the low-income to report their most pressing needs directly to the eligible entities. This permits the eligible entities to structure their services to fit voiced concerns of the low-income community.

The information and data gathered in the Needs Assessment drives the goal setting process and the formulation of program activities and delivery strategies. The Needs Assessment analyzes the demographic and economic conditions and other poverty-related factors identified in each community. The Needs Assessment includes an appraisal of existing programs/services available in the community, specific information about the effectiveness and amount of assistance being provided to deal with the problems and causes of poverty, and the establishment of priorities for projects, activities and most efficient and effectual use of CSBG resources. Additionally, the eligible entities describe the process undertaken to collect the most applicable information to be included as part of the Needs Assessment. In particular, the eligible entities describe how they ensure that the Needs Assessment reflects the current priorities of the low-income population in their particular service area.

(3) Tripartite Boards ['676B(a)(b)]

Community Services Block Grant (CSBG) Tripartite Board requirements are monitored by the State through the following methods:

- (1) A Compliance Desk Review is completed on all CSBG Contracts for each program year. The Compliance Desk Review includes questions focusing on board structure and compliance with tripartite board requirements.
- (2) The State makes every feasible effort to schedule the On Site Monitoring Review corresponding to an agency Board Meeting. During the On-Site Compliance Review, the State completes an On-Site Compliance Review Report which addresses the tripartite board requirements.
- (3) All CSBG funded eligible entities are contractually required to submit both board minutes and board rosters to their assigned Field Representative.

(4) State Charity Tax Program ['675C(b)(2)(c)]

This is not applicable to the State of California.

G. Programmatic Assurances ['676(b)]

(a) Assurance '676(b)(1):

Funds made available through the grant or allotment will be used:

- (1) To support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant and seasonal farm workers, and elderly low-income individuals and families to enable families and individuals to:
 - (i) Assurance 676(b)(1)(A)(i): remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) Assurance 676(b)(1)(A)(ii): secure and retain meaningful employment;
 - (iii) Assurance 676(b)(1)(A)(iii): attain an adequate education, with particular attention to improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
 - (iv) Assurance 676(b)(1)(A)(iv): make better use of available income;
 - (v) Assurance 676(b)(1)(A)(v): obtain and maintain adequate housing and a suitable living environment;
 - (vi) Assurance 676(b)(1)(A)(vi): obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
 - (vii) Assurance 676(b)(1)(A)(vii): achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication, and

strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.

CSD closely monitors the activities of the CSBG Network. In addition to on-site compliance visits and desk review monitoring, which covers each program year, CSD staff perform an extensive review of the narrative of how they meet Assurance 676(B)(1) submitted in the Community Action Plan. Eligible entities are also required to submit projected outcomes in accordance with the established National Performance Indicators. The success of obtaining these outcomes is monitored on an ongoing basis. The comprehensive monitoring for the eligible entities allows for CSD staff to assure that eligible entities are meeting all mandated assurances.

- (2) Assurance 676(b)(1)(B): To address the needs of the youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs, and after-school child care programs.

As stated previously, eligible entities are required to conduct and submit a formal Needs Assessment for their community. The Needs Assessment is required to reflect the current needs of each community. Eligible entities submit a narrative as part of their Community Action Plan that describes how they meet Assurance 676(B)(1)(B) to address the needs of the youth in their communities. The needs will be met through various means, including summer youth programs, youth leadership initiatives, youth mentoring programs, crime diversion, and child care programs.

- (3) Assurance 676(b)(1)(C): To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts).

Each eligible entity is required to submit a narrative describing the systems used to ensure optimal and effective use of coordination with other applicable programs within their community. Additionally, CSD staff take an active role in coordinating with other statewide programs including partnering with the First Lady's Office and State Department of Social Services to promote awareness on the Earned Income Tax Credit (EITC) under utilized by low income Californians

- (4) Assurance '676(b)(4): Eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.

Eligible entities provide a narrative detailing their compliance with providing emergency food assistance and nutrition to offset conditions of starvation and malnutrition. The eligible entities certify their compliance with this assurance in the Community Action Plan. The State will ensure that these activities are carried out through the review of the Community Action Plan, the monitoring of the eligible entities program performance and contract requirements.

Information reported from several state and local government agencies forecast a larger than normal fire season and increased effects of the statewide drought. The result of the drought and fires will be increases in the administering emergency food services by eligible entities to combat the lack of food experienced by displaced farm workers, temporary shelter in the event of fire and emergency rental/mortgage assistance for farm workers who become laid off due to the drought.

- (5) Assurance '676(b)(5): The eligible entities in the State will coordinate and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and the State and the eligible entities will coordinate the provision of employment and training activities in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998.

The eligible entities link with a plethora of governmental and other social services programs to assure the effective delivery of services to the low-income. The link with those social services programs ensure that the low-income have wrap-around services and are closer to moving to self-sufficiency. The linkages also ensure the avoidance of duplication of services. Linkages will be made by all eligible entities and will include local Workforce Investment Boards, social services departments and One Stop centers.

The State will ensure that these activities are carried out through the review of local Community Action Plans and the monitoring of contracts. All required assurances are included in the community action planning process.

- (6) Assurance '676(b)(6): The State will ensure coordination between antipoverty programs in each community in the State, and ensure, where

appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such communities.

CSD will continue to foster coordination between antipoverty programs in each community, including the Low-Income Home Energy Assistance Program (LIHEAP), through coordination provisions of the CSBG contractors' Community Action Plans. CSD administers the federal LIHEAP program, which contains provisions for weatherization and energy crisis intervention. Eligible entities are acquainted with the local LIHEAP provider and utilize the linkage to serve the low-income in their community. Also, many eligible entities undertake relationships with direct energy and power service providers, such as PG&E, Edison and the California Public Utilities Commission.

CSD requires eligible entities to certify in the Community Action Plan that their agency will comply with these assurances. The State will ensure that these activities are carried out through the review of the Community Action Plan, the monitoring of the eligible entities program performance, and contract requirements.

- (7) Assurance '676(b)(9): The State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.

CSD requires eligible entities to certify in the Community Action Plan that their agency will comply with these assurances. The State will ensure that these activities are carried out through the review of the Community Action Plan, the monitoring of the eligible entities program performance, and contract requirements. Additionally, CSD is committed to working to establish new partnerships and develop existing partnerships which further the goals and objectives of the CSBG Program.

H. Fiscal Controls and Monitoring

(1) Monitoring of Eligible Entities ['678B(a)]

- (a) Assurance 678B(a)(1): a full onsite review of each such entity at least once during each 3-year period;
- (b) Assurance 678B(a)(2): an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the Community Services Block Grant Program;
- (c) Assurance 678B(a)(3): follow-up reviews including prompt return visits to

eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;

- (d) Assurance 678B(a)(4): other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the Community Services Block Grant Program) terminated for cause; and
- (e) Specify the date of the last audit conducted and the period covered by the audit for each eligible entity.

An in-house Compliance Desk Review is conducted on all Community Services Block Grant (CSBG) contractors and covers each program year. A review tool is used to assess the status of each CSBG contractors' ability to adhere to the requirements set forth as part of the CSBG Federal and State Laws and Regulations. Depending on the On-Site Compliance Review schedule and/or the results of the Compliance Desk Review, the State will either develop a Desk Review Compliance Report or schedule an On-Site Compliance Review. Following an On-Site Compliance Review, a written report is prepared which summarizes the findings of the On-Site Compliance Review. An agency with multiple issues or concerns related to the solvency or programmatic requirements will be subject to follow up on-site visits, more frequent reporting or submission of additional documentation to support expenditures or programmatic data.

Eligible entities are required to have a single agency wide audit conducted in accordance with Office of Management & Budget Circular A-133. The CSD Audit Services Unit (ASU) reviews the annual audits that are submitted by the eligible entities receiving funding through CSD. The audits of nonprofit eligible entities are due to CSD within nine months of the end of their fiscal year. Audits from governmental entities are submitted through the State Controller's Office with a copy to CSD and are due to CSD nine months after the end of their fiscal year. ASU reviews the audits for issues identified in the reports and for compliance with the governing laws and regulations. ASU investigates issues raised in the audit reports and follow-up on leads identified by Field Representatives.

(2) Corrective Action, Termination and Reduction of Funding [678C]

State regulations specify procedures for corrective action, termination and reduction of funding in compliance with federal law, including:

- (1) Inform the Contractor of the deficiency to be corrected;
- (2) Require the Contractor to correct the deficiency;
- (3) Offer technical assistance to help correct the deficiency, if appropriate;
- (4) Allow the Contractor to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan to correct

the deficiency within a reasonable period of time, as determined by the State.

(3) Fiscal Controls, Audits, and Withholding ['678D(a)(1)(2)]

- (a) Assurance '676(b)(7): The State will permit and cooperate with federal investigations undertaken in accordance with section 678D of the Act.

CSD will cooperate with investigations, audits, and program reviews conducted by the Federal and State government by providing access to fiscal and programmatic records.

- (b) Assurance '676(b)(8): Any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the Community Services Block Grant Program will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act.

State Government Code Section 12736(e) and CSBG regulations provide that CSBG contractors will receive due process to determine if a violation of State or federal law requires suspension or termination proceedings, subject to the review and concurrence of the Secretary of the U.S. Department of Health and Human Services.

CSD will not reduce below its proportional share of funding any community action agency's, any eligible Indian organization or migrant and seasonal farm worker organization's present or future funding. CSBG contractors will receive due process to determine if a funding reduction is recommended, subject to the review and concurrence of the Secretary of the U.S. Department of Health and Human Services.

- (c) Assurance '676(b)(10): The State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.

As part of the Community Action Plan, each agency is required to submit a narrative description which specifies how they intend to implement the above assurance.

I. Accountability and Reporting Requirements

(1) Results Oriented Management and Accountability (ROMA) [676(b)(12)]

Following the requirements set forth in the Government Performance and Results Act (GPRA) and the development of the 15 National Performance Indicators (NPI), the CSBG Network within California is required to report their progress towards achieving the specified outcomes. As part of the Community Action Plan, eligible entities are required to provide two-year projections of the outcomes. Eligible entities are also required to submit annual projections of the outcomes as part of the CSD Contract. The progress towards achieving these outcomes is monitored through a mid-year report due to CSD July 20th of each year and through the annual report due to CSD January 20th following the conclusion of the program year.

The CSBG Network within California report on the following 15 National Indicators of Community Action Performance:

National Goals and Performance Indicators:

Goal 1: Low-Income People Become More Self-Sufficient

NPI 1.1 Employment

The number and percentage of low-income participants in Community Action employment initiatives who get a job or become self-employed, as measured by one or more of the following:

- A. Unemployed and obtained a job
- B. Employed and maintained a job for at least 90 days
- C. Employed and obtained an increase in employment income
- D. Achieved "living wage" employment and benefits

NPI 1.2 Employment Supports

The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from community action, as measured by one or more of the following:

- A. Obtained skills/competencies required for employment
- B. Completed ABE/GED and received certificate or diploma
- C. Completed post-secondary education program and obtained certificate or diploma
- D. Enrolled children in "before" or "after" school programs
- E. Obtained care for child or other dependant in order
- F. Obtained access to reliable transportation and/or driver's
- G. Obtained health care services for themselves or a family
- H. Obtained safe and affordable housing
- I. Obtained food assistance

- J. Obtained non-emergency LIHEAP energy assistance
- K. Obtained non-emergency WX energy assistance
- L. Obtained other non-emergency energy assistance (State/local/private energy programs. Do not include LIHEAP or WX)

NPI 1.3 Economic Asset Enhancement and Utilization

The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of community action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measure by one or more of the following:

A. Enhancement

- 1. Number and percent of participants in tax preparation programs who identify for any type of Federal or State tax credit and the expected aggregated dollar amount of credits
- 2. Number and percentage obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments
- 3. Number and percentage enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings

B. Utilization

- 1. Number and percent demonstrating ability to complete and maintain a budget for over 90 days
- 2. Number and percent opening an Individual Development Account (IDA) or other savings account and increased savings, and the aggregated amount of savings
- 3. Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings
 - a. Number and percent capitalizing a small business due to accumulated savings
 - b. Number and percent pursuing post-secondary education due to savings
 - c. Number and percent purchasing a home due to accumulated savings
 - d. Number and percent of participants purchasing other assets with accumulated savings

Goal 2: The conditions in which low-income people live are improved.

NPI 2.1 Community Improvement and Revitalization

Increase in, or safeguarding of threatened opportunities and community resources or services for low-income people in the community as a result of community action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:

- A. Jobs created, or saved, from reduction or elimination in the community
- B. Accessible "living wage" jobs created, or saved, from reduction or

- elimination in the community
- C. Safe and affordable housing units created in the community
- D. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by community action activity or advocacy
- E. Accessible and affordable health care services/facilities for low-income people created or maintained
- F. Accessible safe and affordable childcare or child development placement opportunities for low-income families created or saved from reduction or elimination
- G. Accessible "before school" and "after school" program placement opportunities for low-income families created or saved from reduction or elimination
- G. Accessible new, or expanded transportation resources or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation
- H. Accessible or increased educational and training placement opportunities or those that are saved from reduction or elimination that are available for low-income people in the community, including vocational, literacy and life skill training, ABE/GED, and post-secondary education

NPI 2.2 Community Quality of Life and Assets

The quality of life and assets in low-income neighborhoods are improved by community action initiative or advocacy, as measured by one or more of the following:

- A. Increase in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets
- B. Increase in the availability or preservation of community facilities
- C. Increase in the availability or preservation of community services to improve public health and safety
- D. Increase in the availability or preservation of commercial services within low-income neighborhoods
- E. Increase or preservation of neighborhood quality-of-life resources

NPI 2.3 Community Engagement

The number of community members working with Community Action to improve conditions in the community.

- A. Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives
- B. Number of volunteer hours donated to the agency (This will be ALL volunteer hours)

Goal 3: Low-Income people own a stake in their community.

NPI 3.1 Community Enhancement Through Maximum Feasible Participation

- A. The total number of hours donated by low-income individuals to Community Action. (This is only the number of volunteer hours from individuals who are low-income.)

NPI 3.2 Community Empowerment Through Maximum Feasible Participation

The number of low-income people mobilized as a direct result of community action initiative to engage in activities that support and promote their own well-being and that of their community, as measured by one or more of the following:

- A. Number of low-income people participating in formal community organizations, government, boards or councils provide input to decision-making and policy setting through community action efforts
- B. Number of low-income people acquiring businesses in their community as a result of community action assistance
- C. Number of low-income people purchasing their own homes in their community as a result of community action assistance
- D. Number of low-income people engaged in non-governance community activities or groups created or supported by community action

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.

NPI 4.1 Expanding Opportunities Through Community-Wide Partnerships

The number of organizations, both public and private, community action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

- A. Non-Profit
- B. Faith Based
- C. Local Government
- D. State Government
- E. Federal Government
- F. For-Profit Business or Corporation
- G. Consortiums/Collaboration
- H. Housing Consortiums/Collaboration
- I. School Districts
- J. Institutions of post secondary education/training
- K. Financial Banking Institutions
- L. Health Service Institutions
- M. State wide associations or collaborations

Goal 5: Agencies increase their capacity to achieve results.

NPI 5.1 Agency Development

The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:

- A. Number of C-CAPs
- B. Number of ROMA Trainers
- C. Number of Family Development Trainers
- D. Number of Child Development Trainers
- E. Number of staff attending trainings
- F. Number of board members attending trainings
- G. Hours of staff in trainings
- H. Hours of board members in trainings

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive environments.

NPI 6.1 Independent Living

The number of vulnerable individuals receiving services from community action that maintain an independent living situation as a result of those services:

- A. Senior Citizens
- B. Individuals with Disabilities
 - a. 0-17
 - b. 18-54
 - c. 55-over

NPI 6.2 Emergency Assistance

The number of low-income individuals served by community action who sought emergency assistance and the number of those individuals for whom assistance was provided.

- A. Emergency Food
- B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources
- C. Emergency Rent or Mortgage Assistance
- D. Emergency Car or Home Repair
- E. Emergency Temporary Shelter
- F. Emergency Medical Care
- G. Emergency Protection from Violence
- H. Emergency Legal Assistance
- I. Emergency Transportation
- J. Emergency Disaster Relief
- K. Emergency Clothing

NPI 6.3 Child and Family Development

The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs that achieve program goals, as measured by one or more of the following:

A. Infants and Children

1. Infants and children obtain age appropriate immunizations, medical and dental care
2. Infant and child health and physical development are improved as a result of adequate nutrition
3. Children participate in pre-school activities to develop school readiness skills
4. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade

B. Youth

1. Youth improve physical health and development
2. Youth improve social/emotional development
3. Youth avoid risk-taking behavior for a defined period of time
4. Youth have reduced involvement with criminal justice system
5. Youth increase academic, athletic or social skills for school success

C. Parents and Other Adults

1. Parents and other adults learn and exhibit improved parenting skills
2. Parents and other adults learn and exhibit improved family functioning skills

NPI 6.4 Family Supports

Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated, as measured by one or more of the following:

- A. Enrolled children in before or after school programs
- B. Obtained care for child or other dependent
- C. Obtained access to reliable transportation and/or driver's license
- D. Obtained health care services for themselves or family member
- E. Obtained safe and affordable housing
- F. Obtained food assistance
- G. Obtained non-emergency LIHEAP energy assistance
- H. Obtained non-emergency WX energy assistance

NPI 6.5 Service Counts

The number of services provided to low-income individuals and/or families, as measured by one or more of the following:

- A. Food Boxes
- B. Pounds of Food
- C. Units of Clothing
- D. Rides Provided
- E. Information and Referral Calls

CSD is committed to ensuring each agency within the CSBG Network fully understands and is accurately reporting on the above outcome indicators. CSD staff provide regional trainings focusing on the National Performance Indicators and are available to provide tailored training on-site at eligible entities requiring additional assistance.

(2) The Annual Report of the Act ['678E(a)(2)]

In accordance with federal law and Department of Health and Human Services (HHS) guidelines, the State will submit an annual report to the National Association for State Community Services Programs (NASCS) and HHS, Office of Community Services (OCS). The Report includes all required information, including performance objectives, program accomplishments and activities, comparison of planned and actual expenditures, a profile of participants served, a statistical report on CSBG Program Services and a report regarding training and technical assistance provided by the state.

CSD has specific policies and procedures in place to ensure that the annual report is submitted in a timely manner. Reports focusing on the client demographics and National Performance Indicators are due from each agency to CSD on January 20th of each year. These reports are carefully analyzed and examined for accuracy and completion. The additional forms necessary for the annual report are submitted to CSD no later than March 1st of each year. These forms, which include a report of all other resources generated by the eligible entities, a breakdown of CSBG funds administered by the eligible entities into service categories and a narrative description of accomplishments are also carefully analyzed for accuracy and completion. The submittal of these reports no later than March 1st allows CSD ample time to compile reports and ensure the annual report is submitted by the established due date.

APPENDIX A

PROJECTED FUNDING ALLOCATION

Department of Community Services and Development (CSD)

Community Services Block Grant (CSBG)

Estimated 2010 Allocation of Federal Funds

Estimated 2010 Allocation of Federal Funds Community Action Agencies

County	Agency	Poverty Population	Percent of Poverty Population	Proposed 2010 Allocation
Alameda	Berkeley CAA	19,495	0.00414	259,646
Alameda	Associated Community Action Program	60,820	0.01292	571,226
Alameda	City of Oakland, Department of Human Services	76,489	0.01625	718,453
Alpine	Inyo Mono Advocates for Community Action, Inc.	232	0.00005	2,211
Amador/Tuolumne	Amador/Tuolumne CAA	8,498	0.00181	254,217
Butte	CAA of Butte County, Inc.	39,148	0.00832	367,848
Calaveras/Mariposa	Calaveras/Mariposa CAA	7,193	0.00153	253,565
Colusa	SEE GLENN			
Contra Costa	Contra Costa Employment & Human Services Dept	71,575	0.01521	672,472
Del Norte	Del Norte Senior Center	4,765	0.00101	44,655
El Dorado	El Dorado County Department of Human Services	11,079	0.00235	255,475
Fresno	Fresno County EOC	179,085	0.03805	1,682,286
Glenn/Colusa/Trinity	Glenn County Human Resource Agency	10,065	0.00214	254,986
Humboldt	Redwood CAA	24,059	0.00511	261,906
Imperial	Campesinos Unidos, Inc.	29,681	0.00631	278,981
Inyo/Mono	Inyo Mono Advocates for Community Action, Inc.	3,700	0.00079	251,841
Kern	CAP of Kern	130,949	0.02783	1,230,435
Kings	Kings CAO	21,307	0.00453	260,555
Lake	Lake County CAA	10,081	0.00214	254,986
Lassen/Plumas/Sierra	Lassen/Plumas/Sierra CAA	6,561	0.00139	253,239
Los Angeles	Foothill Unity Center, Inc.	38,468	0.00817	361,216
Los Angeles	Long Beach CSDC	103,434	0.02198	971,792
Los Angeles	County of Los Angeles Dept of Public Social Services	731,647	0.15547	6,873,724
Los Angeles	City of Los Angeles, CDD, HS&NDD	801,050	0.17021	7,525,417
Madera	CAP of Madera County, Inc.	24,514	0.00521	262,139
Marin	Community Action Marin	15,601	0.00332	257,735
Mariposa	SEE CALAVERAS			
Mendocino	North Coast Opportunities	13,505	0.00287	256,687
Merced	Merced County CAA	45,059	0.00957	423,114
Modoc/Siskiyou	Modoc/Siskiyou CAA	10,071	0.00214	254,986
Mono	SEE INYO			
Monterey	Monterey County CAP	51,692	0.01098	485,453
Napa	Community Action Napa Valley	9,913	0.00211	254,916
Nevada	Nevada County Dept of Housing & Community Services	7,332	0.00156	253,635
Orange	CAP of Orange County	289,475	0.06151	2,719,513
Placer	County of Placer Dept of Health and Human Services	14,272	0.00303	257,060
Plumas	SEE LASSEN			
Riverside	CAP of Riverside County	214,084	0.04549	2,011,228
Sacramento	Sacramento Employment and Training Agency	169,784	0.03608	1,595,188
San Benito	San Benito County DCS&WD	5,241	0.00111	252,586
San Bernardino	CAP of San Bernardino County	263,412	0.05597	2,474,575
San Diego	County of San Diego, H&HAS, CAP	338,399	0.07191	3,179,323

County	Agency	Poverty Population	Percent of Poverty Population	Proposed 2010 Allocation
San Francisco	EOC of San Francisco	86,585	0.01840	813,511
San Joaquin	San Joaquin County Dept of Aging & Community Svcs	97,105	0.02063	912,105
San Luis Obispo	CAP of San Luis Obispo County, Inc.	29,775	0.00633	279,865
San Mateo	CAA of San Mateo County, Inc.	40,692	0.00865	382,439
Santa Barbara	CAC of Santa Barbara County, Inc.	55,086	0.01171	517,729
Santa Clara	Sacred Heart Community Service	124,470	0.02645	1,169,422
Santa Cruz	CAB of Santa Cruz County, Inc.	29,383	0.00624	275,887
Shasta	Shasta County CAA	24,556	0.00522	262,162
Sierra	SEE LASSEN			
Siskiyou	SEE MODOC			
Solano	CAP of Solano County	31,344	0.00666	294,455
Sonoma	CAP of Sonoma County	36,349	0.00772	341,321
Stanislaus	Central Valley Opportunity Center, Inc.	70,406	0.01496	661,420
Sutter	Sutter County CAA	12,031	0.00256	255,965
Tehama	Tehama County CAA	9,503	0.00202	254,706
Trinity	SEE GLENN			
Tulare	Community Services & Employment Training, Inc.	86,572	0.01840	813,511
Tuolumne	SEE AMADOR			
Ventura	Community Action of Ventura County, Inc.	68,540	0.01456	643,735
Yolo	County of Yolo, Dept of Employment & Social Services	29,787	0.00633	279,865
Yuba	Yuba County CSC	12,205	0.00259	256,036

TOTAL, all counties

4,706,124 1.00000 47,213,404

**PROJECTED FUNDING ALLOCATION FOR
LIMITED PURPOSE AGENCIES**

<u>AGENCY</u>	<u>SERVICE AREA</u>	<u>DOLLAR AMOUNT</u>
CAMPESINOS UNIDOS, INCORPORATED 1005 "C" Street P.O. Box 39 Brawley, CA 92227 (619) 344-6300 Jose M. Lopez, Executive Director	San Diego Co.	\$ 81,846
DEL NORTE SENIOR CENTER 1765 Northcrest Drive Crescent City, CA 95531 (707) 464-3069 (707) 464-9013 Cynthia Brande, Executive Director	Del Norte Co.	\$ 89,600
COMMUNITY DESIGN CENTER 1705 Ocean Avenue San Francisco, CA 94112 (415) 586-1235 Charles B. Turner, Jr., Executive Director	Statewide	\$123,262
RURAL COMMUNITY ASSISTANCE CORPORATION 3120 Freeboard Drive, Suite 201 West Sacramento, CA 95691 (916) 447-9832 William French, Executive Director	Statewide	\$138,053
TOTAL PROJECTED ALLOCATION		\$432,761

**PROJECTED FUNDING ALLOCATION FOR
MIGRANT AND SEASONAL FARM WORKERS**

<u>AGENCY</u>	<u>SERVICE AREA</u>	<u>DOLLAR AMOUNT</u>
CALIFORNIA HUMAN DEVELOPMENT CORPORATION 3315 Airway Drive Santa Rosa, CA 95403 (707) 523-1155 Michael Micciche, Executive Director	FARM WORKER DISTRICT I: Alpine, Amador, Butte, Calaveras, Colusa, Contra Costa, Del Norte, El Dorado, Glenn, Humboldt, Lake, Lassen, Marin, Mendocino, Modoc, Napa, Nevada, Placer, Plumas, Sacramento, San Joaquin, Shasta, Sierra, Siskiyou, Solano, Sonoma, Sutter, Tehama, Trinity, Yolo, and Yuba Counties	\$1,385,882
CENTER FOR EMPLOYMENT TRAINING	FARM WORKER DISTRICT III: Alameda, Imperial, Inyo, Los Angeles,	\$1,867,927

701 Vine Street
 San Jose, CA 95110
 (408) 287-7924 - CSBG
 Hermalinda Sapien, Executive Director

Mono, Monterey, Orange, Riverside,
 San Benito, San Bernardino, San
 Diego, San Francisco, San Luis Obispo,
 San Mateo, Santa Barbara, Santa
 Clara, Santa Cruz, and Ventura
 Counties

CENTRAL VALLEY OPPORTUNITY
 CENTER
 6838 West Bridget Court
 P.O. Box 1389
 Winton, CA 95388
 (209) 357-0062
 Ernie Flores, Executive Director

FARM WORKER DISTRICT II (Partial)
 Mariposa, Tuolumne, Stanislaus,
 Madera, and Merced Counties

\$542,301

PROTEUS, INCORPORATED
 1830 N. Dinuba Boulevard
 Visalia, CA 93291
 P.O. Box 727 - Mailing Address
 Visalia, CA 93279
 (209) 733-5423
 Michael McCann, Chief Executive Officer

FARM WORKER DISTRICT II (Partial)
 Fresno, Kern, Kings and Tulare Counties

\$2,229,462

LA COOPERATIVA CAMPESINA
 DE CALIFORNIA
 7801 Folsom Boulevard, Suite 365
 Sacramento, CA 95826
 (916) 388-2220
 Raul Meyreles, Executive Director

STATEWIDE

\$178,555

TOTAL PROJECTED ALLOCATION

\$6,204,127

PROJECTED FUNDING ALLOCATION FOR AMERICAN INDIANS

AGENCY

SERVICE AREA

DOLLAR AMOUNT

KARUK TRIBE OF CALIFORNIA
 P.O. Box 1016
 Happy Camp, CA 96039
 (530) 493-1600
 Archie Supper, Chairman

Karuk Tribe of California
 Alturas Rancheria,
 Cedarville Rancheria,
 Hoopa Valley Reservation,,
 Elk Valley Rancheria

\$104,654

LOS ANGELES CITY/COUNTY NATIVE
 AMERICAN INDIAN COMMISSION
 3175 West Sixth Street, Room 403
 Los Angeles, CA 90020
 (213) 351-5308
 Ron Andrade, Executive Director

Los Angeles Co.

\$383,379

NORTHERN CALIFORNIA INDIAN
DEVELOPMENT COUNCIL, INC.
241 F Street
Eureka, CA 95501
(707) 445-8451
Terry Coltra, Executive Director

All other areas

\$1,931,576

TOTAL PROJECTED ALLOCATION

\$2,419,609

DRAFT

APPENDIX B

DOCUMENTATION OF LEGISLATIVE AND PUBLIC HEARINGS

(To be included in final CSBG State Plan and Application)

**STATE OF CALIFORNIA
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
NOTICE OF PUBLIC HEARING – 2010-11 COMMUNITY SERVICES BLOCK GRANT (CSBG)**

The State Legislature will conduct a public hearing to receive comments on the 2010-11 State Plan and Application for the Community Services Block Grant (CSBG) Program. The hearing is scheduled for August 25, 2009, in Sacramento, CA 95814.

Persons presenting oral testimony are requested to provide a written statement of their presentation at the conclusion of their testimony. If unable to attend, send written comments to: Department of Community Services and Development, Post Office Box 1947 Sacramento, CA 95811, Attention: Leslie Taylor. Comments will be accepted until 5:00 p.m., August 25, 2009. The Department of Community Services and Development will review comments and at its discretion incorporate changes to the final plan. A copy of the draft plan may be obtained on CSD's website at www.csd.ca.gov or by calling (916) 341-4284.

NOTICE

Americans with Disabilities Act

Individuals who, because of a disability, need special assistance to attend or participate in this hearing may request assistance by calling Carol Forrest at (916) 341-4252. Requests should be made five working days in advance whenever possible.

APPENDIX C

DELEGATION LETTER



GOVERNOR ARNOLD SCHWARZENEGGER

September 7, 2006

Ms. Josephine B. Robinson
Director
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, SW
Washington, DC 20201

Dear Ms. Robinson,

Pursuant to 42 U.S.C. 9908(a)(1) and Title 45, Part 96.10(b) of the Code of Federal Regulations, I hereby delegate signature authority to Lloyd Throne, Director of the State of California's Department of Community Services and Development, and his successor, for the purposes of submitting the application and certifying compliance with federal assurances relating to the Community Services Block Grant (CSBG), which may include the Community Food and Nutrition Program (CFNP), and Low-Income Home Energy Assistance Program (LIHEAP).

Thank you for your attention to this matter.

Sincerely,

A handwritten signature in black ink, appearing to read 'Arnold Schwarzenegger', with a stylized flourish at the end.
Arnold Schwarzenegger

APPENDIX D

ADMINISTRATIVE CERTIFICATIONS

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

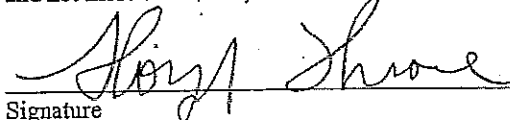
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.



Signature

Director

Title

Department of Community Services
Organization & Development

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-- Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under

48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-- Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-- Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is

providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--
Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
- (1) Abide by the terms of the statement; and
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

700 North 10th Street

Sacramento, CA 95812

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.